

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Nathalie B. Scholler, Mary L. Disis, Ingegerd Hellstrom and
Karl Erik Hellstrom
Attorney's Docket No: 730033.409
Application No.: 09/441,411
Filed: November 16, 1999
For: SURFACE RECEPTOR ANTIGEN VACCINES

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 C.F.R. §§ 1.9(f) AND 1.27(d) -- NONPROFIT ORGANIZATION)

I declare that I am an official empowered to act on behalf of the nonprofit organization identified below:

Name of Organization: Pacific Northwest Research Institute
Address of Organization: 720 Broadway
Seattle, Washington 98122

TYPE OF ORGANIZATION:

- ☐ university or other institution of higher education
- ☒ tax exempt under Internal Revenue Service Code (26 U.S.C. §§ 501(a) and 501(c)(3))
- ☐ nonprofit scientific or educational under statute of a state of the United States of America
(Name of state: _____)
(Citation of statute: _____)
- ☐ would qualify as tax exempt under Internal Revenue Service Code (26 U.S.C. §§ 501(a) and 501(c)(3)) if located in the United States of America
- ☐ would qualify as nonprofit scientific or educational under statute of a state of the United States of America if located in the United States of America
(Name of state: _____)
(Citation of statute: _____)

I declare that the above-identified nonprofit organization qualifies as a nonprofit organization as defined in 37 C.F.R. § 1.9(e) for purposes of paying reduced fees under 35 U.S.C. §§ 41(a) and 41(b) with regard to the invention entitled:

SURFACE RECEPTOR ANTIGEN VACCINES

by inventors Nathalie B. Scholler, Mary L. Disis, Ingegerd Hellstrom and Karl Erik Hellstrom as described in:

- ☐ the specification filed herewith.
- ☒ Application No. 09/441,411, filed November 16, 1999.

[] Patent No. _____, issued _____.

I declare that rights under contract or law have been conveyed to and remain with the nonprofit organization with regard to the above-identified invention.

If the rights held by the nonprofit organization are not exclusive, each individual, concern or organization having rights to the invention is listed below and no rights to the invention are held by any person, other than the inventor, who could not qualify as an independent inventor under 37 C.F.R. § 1.9(c) or by any concern which would not qualify as a small business concern under 37 C.F.R. § 1.9(d) or a nonprofit organization under 37 C.F.R. § 1.9(e).*

*NOTE: Separate verified statements are required from each named person, concern and organization having rights to the invention averring to his/its status as a small entity. (37 C.F.R. § 1.27)

FULL NAME _____

ADDRESS _____

- [] individual
[] small business concern
[] nonprofit organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earlier of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. § 1.28(b))

I declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that the making of willfully false statements and the like is punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING R. Paul Robertson, MD

TITLE IN ORGANIZATION Director

ADDRESS OF PERSON SIGNING 720 Broadway

Seattle, Washington 98122

SIGNATURE *R. Paul Robertson* DATE 2/3/00



DECLARATION

As the below-named inventors, we declare that:

Our residences, post office addresses, and citizenships are as stated below under our names.

We believe we are the original, first, and joint inventors of the invention entitled "SURFACE RECEPTOR ANTIGEN VACCINES," which is described and claimed in the specification and claims of Patent Application No. 09/441,411, which we filed in the United States Patent and Trademark Office on November 16, 1999 and for which a patent is sought. This application claims priority to provisional application No. 60/109,106 filed on November 18, 1998.

We have reviewed and understand the contents of the above-entitled specification, including the claims, as amended by any amendment specifically referred to herein (if any).

We acknowledge our duty to disclose information of which we are aware which is material to the patentability and examination of this application in accordance with 37 C.F.R. § 1.56(a).

We further declare that all statements made herein of our own knowledge are true and that all statements made on information and belief are believed to be true; and further, that these statements were made with the knowledge that the making of willfully false statements and the like is punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and may jeopardize the validity of any patent issuing from this patent application.

Nathalie B. Scholler
Nathalie B. Scholler

Date 1/27/00
Residence : City of Seattle, County of King
State of Washington
Citizenship : France
P.O. Address : 6208 32nd Avenue Northwest
Seattle, Washington 98107

Mary L. Disis
Mary L. Disis

Date 2/08/00
Residence : City of Renton, County of King
State of Washington
Citizenship : United States of America
P.O. Address : 17850 Southeast 192nd Drive
Renton, Washington 98055

Ingegerd Hellstrom
Ingegerd Hellstrom

Date 1/27/00
Residence : City of Seattle, County of King
State of Washington
Citizenship : United States of America
P.O. Address : 3925 Northeast Surber Drive
Seattle, Washington 98105

Karl Erik Hellstrom
Karl Erik Hellstrom
Date 1/27/00
Residence : City of Seattle, County of King
State of Washington
Citizenship : United States of America
P.O. Address : 3925 Northeast Surber Drive
Seattle, Washington 98105

1/27/00
Date

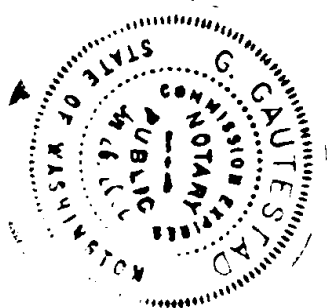
Ingegerd Hellstrom
Ingegerd Hellstrom

State of WASHINGTON)

County of KING)

ss.

I certify that I know or have satisfactory evidence that Ingegerd Hellstrom is the person who appeared before me, and said person acknowledged that she signed this instrument and acknowledged it to be her free and voluntary act for the uses and purposes mentioned in the instrument.



Dated January 27, 2000

Signature of Notary Public G. Gäutestad

Printed Name G. Gäutestad

My appointment expires June 26, 2002

February 3, 2000
Date

Karl Erik Hellstrom
Karl Erik Hellstrom

State of WASHINGTON)

County of KING)

ss.

I certify that I know or have satisfactory evidence that Karl Erik Hellstrom is the person who appeared before me, and said person acknowledged that he signed this instrument and acknowledged it to be his free and voluntary act for the uses and purposes mentioned in the instrument.



Dated February 3, 2000

Signature of Notary Public G. Gäutestad

Printed Name G. Gäutestad

My appointment expires June 26, 2002

February 3, 2000

Date

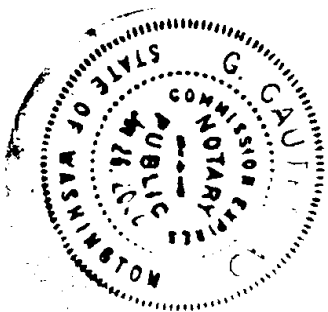
Nathalie B. Scholler
Nathalie B. Scholler

State of WASHINGTON)

County of KING)

ss.

I certify that I know or have satisfactory evidence that Nathalie B. Scholler is the person who appeared before me, and said person acknowledged that she signed this instrument and acknowledged it to be her free and voluntary act for the uses and purposes mentioned in the instrument.



Dated February 3, 2000

Signature of Notary Public G. Gäutestad

Printed Name G. Gäutestad

My appointment expires June 26, 2002

February 7, 2000

Date

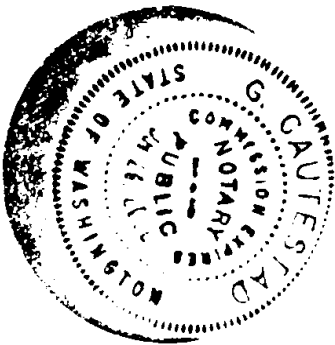
Mary L. Disis
Mary L. Disis

State of WASHINGTON)

County of KING)

ss.

I certify that I know or have satisfactory evidence that Mary L. Disis is the person who appeared before me, and said person acknowledged that she signed this instrument and acknowledged it to be her free and voluntary act for the uses and purposes mentioned in the instrument.



Dated February 7, 2000

Signature of Notary Public G. Gäutestad

Printed Name G. Gäutestad

My appointment expires June 26, 2002

ASSIGNMENT

WHEREAS, we, Nathalie B. Scholler, Mary L. Disis, Ingegerd Hellstrom and Karl Erik Hellstrom (hereinafter referred to as ASSIGNORS), having post office addresses of 6208 32nd Avenue Northwest, Seattle, Washington 98107; 17850 Southeast 192nd Drive, Renton, Washington 98055; 3925 Northeast Surber Drive, Seattle Washington 98105, and 3925 Northeast Surber Drive, Seattle, Washington 98105, respectively, are the joint inventors of an invention entitled "SURFACE RECEPTOR ANTIGEN VACCINES," as described and claimed in the specification for which an application for United States letters patent was filed on November 16, 1999 and assigned Application No. 09/441,411. This application claims priority of Provisional application No. 60/109,106 filed November 18, 1998.

WHEREAS, PACIFIC NORTHWEST RESEARCH INSTITUTE (hereinafter referred to as ASSIGNEE), a corporation of the State of Washington having a place of business at 720 Broadway, Seattle, Washington 98122, is desirous of acquiring the entire right, title and interest in and to the invention and in and to any letters patent that may be granted therefor in the United States and in any and all foreign countries;

NOW, THEREFORE, in exchange for good and valuable consideration, the receipt of which is hereby acknowledged, ASSIGNORS hereby sell, assign and transfer unto said ASSIGNEE the entire right, title and interest in and to said invention, said application and any and all letters patent which may be granted for said invention in the United States of America and its territorial possessions and in any and all foreign countries, and in any and all divisions, reissues and continuations thereof, including the right to file foreign applications directly in the name of ASSIGNEE and to claim priority rights deriving from said United States application to which said foreign applications are entitled by virtue of international convention, treaty or otherwise, said invention, application and all letters patent on said invention to be held and enjoyed by ASSIGNEE and its successors and assigns as fully and entirely as the same would have been held and enjoyed by ASSIGNORS had this assignment, transfer and sale not been made. ASSIGNORS hereby authorize and request the Commissioner of Patents and Trademarks to issue all letters patent on said invention to ASSIGNEE. ASSIGNORS agree to execute all instruments and documents required for the making and prosecution of applications for United States and foreign letters patent on said invention, for litigation regarding letters patent, or for the purpose of protecting title to said invention or letters patent therefor.